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In an effort to develop a new approach to comprehensive college and university planning, Colgate University and the American Foundation for Management Research (AFMR) undertook a joint study that involved (1) an intensive investigation of planning practices at selected colleges and universities, (2) a review of the available literature on planning, (3) the observation of planning practices in business and industry, and (4) consultations with various planning experts. Generally, the trial planning process that was developed for Colgate University involved a 1-week session to discuss institutional objectives and to define strategies for long-term development. The institutional data collected during an interim period were indexed and analyzed, and a second 1-week session concentrated on the analysis of these data to identify significant internal trends of the university and their relationship to environmental influences. Planning "gaps" were identified, alternate courses of action were broken down into specific programs, and a planning guide for future comprehensive planning was developed. This process, which has also been tested at Franklin and Marshall College, compresses the amount of time required for planning but provides a coordinated approach to the development of a practical, flexible, and feasible plan to serve as a broad frame of reference for individual institutions. (WM)

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COLLEGE AND UNIVERSITY PLANNING

REPORT ON A

JOINT STUDY BY

COLGATE UNIVERSITY

AND

AMERICAN FOUNDATION FOR
MANAGEMENT RESEARCH

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
OFFICE OF EDUCATION

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by

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January 20, 1969

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COLGATE-AFMR PROJECT

Preface

This is but a brief report on a project that has kept me occupied--indeed fascinated--on virtually a full-time basis for more than a year. The nature of the project makes it difficult, if not impossible, to present a full report on the results, short of bringing the individual reader to Hamilton for an extended orientation to the process which has been developed for College and University Planning.

But, for those who have expressed an interest in this project, the following report gives a general overview of the project, with special emphasis on an outline of the process derived from the study.

Special thanks are due to Vincent M. Barnett, Jr., President of Colgate University; Lawrence A. Appley, Chairman of the Board of the American Management Association; Merritt Kastens, Director of the Manager Learning Center; James F. Dickinson, Vice President for Development, Alumni Affairs and Public Relations, Colgate University; and Arthur Angrist, Vice President of The American Foundation for Management Research, Inc., for their support, encouragement and counsel. I also want to thank Miss Susan Giampetruzzi and Mrs. Rita Zimmerman for their invaluable assistance throughout the project.

Finally, it needs to be said that the work of this project should be viewed as but a beginning in developing new ways of helping colleges and universities with the important problem of planning. Like planning itself, efforts to develop new approaches should remain flexible and subject to change as we learn more about how best to do planning.

But, as a start, I am satisfied with the outcome of this project and heartily encourage continued efforts on the part of AFMR to make its excellent resources available to institutions of higher education.

Robert G. Smith

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I. INTRODUCTION

Recognizing the importance of planning for colleges and universities on the one hand, and on the other the evidence that planning is often misunderstood or poorly implemented, Colgate University and the American Foundation for Management Research undertook a joint study to 1) review and synthesize the best planning activities currently in use by selected colleges and universities as well as business enterprises; 2) to review and catalogue the literature on planning; 3) to use the results of this study, along with new concepts developed in cooperation with special consultants, to design and test an experimental planning process with one or more colleges; and 4) to develop a substance center of resource materials which might be useful to college planners.

Based on what was judged to be a successful effort in designing a process for comprehensive college and university planning, planning teams from Colgate University and Franklin and Marshall College were invited to participate in pilot tests of the proposed process.

Colgate University has now completed an experimental process which is outlined in a later section of this report, and Franklin and Marshall is approximately halfway through a second test process which should be completed in the spring of 1969.

This report is intended to present a brief review of the overall project with special attention to the planning process which was derived from the study.

Favorable response to the process by those who have participated in it as well as independent evaluation of the results have convinced the investigator that it is possible, under conditions outlined later in this report, for an agency such as the American Foundation for Management Research to provide significant assistance to colleges and universities in the area of comprehensive planning. Thus, work is going forward on refining the techniques of comprehensive planning and in developing a substance center of resource materials which can facilitate planning discussions. In the near future a professional staff at the AFMR Manager Learning Center in Hamilton, New York, will be available on a fee basis, to provide assistance in planning to colleges and universities.

II. BACKGROUND OF PLANNING AT COLGATE

Following the lead of President Vincent M. Barnett Jr., Colgate University had been doing more or less formal planning since 1963. Indeed, in a recent interview printed in the Colgate Maroon, a campus newspaper, Barnett said that his greatest accomplishment in six years as president of Colgate was, "The beginning of a self-concious planning process whereby we could look ahead five or ten years and see what we want to be and then move toward it."

"I have always personally believed in planning," Barnett points out. "And when I came to Colgate in 1963 it was obvious the University was capable of becoming a better institution through planning. The problem, then as now, was largely financial. We had to have a plan of action which required us to look at costs despite the fact that the figures were shocking when we put them down."

Thus, institutional long-range planning became a high priority concern at Colgate. Using guidelines originally developed by Sidney Tickton, Colgate's first plan reviewed a ten year history of the College and projected the ten year future. Special attention was given to formulating specific objectives, strategies, and programs for a five year future ending with the Sesquicentennial year of the University in 1969.

Each year since 1963 there has been an annual review of long-range plans which served to monitor progress toward objectives and to revise and update plans. It will suffice here to point out that this initial attempt to do planning was most helpful. One piece of concrete evidence of its value was the fact that the results of long-range planning were useful in preparing a proposal to the Ford Foundation requesting a special grant. On the basis of this presentation Colgate was awarded $2.2 million in June 1964, on the condition that the University raise $6.6 million in matching funds in the three year period ending June 1967. Partially because of effective planning Colgate was able to meet this challenge some six months ahead of schedule, as well as to initiate a $23 million Colgate Renewal and Improvement Program which has carried the University through the most significant five year period of development in its 150 year history.

In September of 1967, President Barnett concluded that, "A plan cannot be very useful for more than a four or five year period." With the rate of change in higher education generally and the momentum already started at Colgate, there was a pressing need to revaluate resources and rethink objectives. Thus, it became apparent that it would be necessary to undertake a complete review of progress to date and recast the long-range plans for the University through 1980. At the same time, it seemed obvious that the planning process at Colgate needed to become somewhat more systematic and more formalized. Unlike the earlier efforts at long-term planning which were completed under pressures of immediate demand and limited time, it was felt that the next cycle of planning should involve the widest possible participation of the University community. And, based on the record of accomplishment over the past four years it seemed entirely possible that Colgate might be in a position to provide leadership for other colleges and universities in attempting to develop a new approach to the planning process.

At about the same time Colgate was considering new approaches to planning, the American Foundation for Management Research dedicated a new million dollar Learning Center just outside the Village of Hamilton which was especially designed to assist business and industry with various management problems, including planning. The Learning Center was an outgrowth of several years of experimental work which had been carried out by AFMR in an effort to develop a new approach to planning for business and industry. A preliminary review of the successful experimental work at AFMR suggested the possibility of a joint project to develop a new approach to college and university planning which in part might be derived from corporate experience. James Dickinson, Vice President for Development, Public Relations, and Alumni Affairs at Colgate, asked AFMR for financial support for such a project. On the basis of his proposal a grant of $44,500 was made to Colgate University in September of 1967 and Robert G. Smith, Executive Assistant to the President was asked to direct the project.

Without rejecting any of the good work that had already been done in the area of college and university planning--indeed taking full advantage of such work--this project revisited college and university planning in an attempt to develop new and hopefully improved approaches to the problems of planning.

III. RATIONALE

Why another study of long-range planning in colleges and universities? It is certainly true, as will be shown in a subsequent section of this report, that a great deal of attention has already been given to this important subject. But it is also clear, from a review of the literature as well as from a preliminary survey of current planning practices in colleges and universities, relatively little is known about how best to approach the problem of comprehensive university planning. Any careful observer of the current scene of higher education is fully aware that there are forces at work which will demand increasingly sophisticated planning on the part of those institutions which wish to survive and prosper. No brief accounting of these forces can hope to be complete but for the purpose of this report, it might be useful to identify at least a few of the major reasons why more and better long-range planning is immediately required.

The explosion of knowledge is radically reshaping the environment of higher education. Paradoxically, the colleges and universities where this explosion was initiated have been relative laggards in applying systematic methods to the understanding and evaluation of their own functioning. This paradox has inherent in it the dangerous possibility that educational institutions are not preparing students to live in and cope with the complex new environments which the universites themselves are helping to create.

Rapidly increasing costs of higher education have been well documented. The cost squeeze may be one of the most compelling reasons for more effective planning as well as more effective implementation of plans.

Sources of support, including governmental agencies, foundations and others, and already beginning to demand that colleges and universities seeking support have well formulated plans for future development. Institutions without sensible plans which are carefully developed and documented will have increasing difficulty obtaining support for their programs.

More students are seeking educational opportunities in our colleges and universities. In addition to the increased numbers, there are also increased demands for higher quality programs of education.

Technological advances in general, especially the computer revolution, will undoubtedly modify some of the traditional patterns of education. In order to take maximum advantage of such advances, more careful planning will be required.

Controlled growth and development rather than the simple evolution which has been characteristic of higher education for 300 years will be required. Rather than merely responding to evolving pressures for change, the best institutions will attempt to shape their programs and activities along predetermined lines to meet the expected demands of the future. Historically, colleges and universities have tended to let their programs and activities get "thicker" in order to accomplish educational objectives rather than "shape" the institution to meet its goals. Relatively little attention has been given to thoughtful development of goals and objectives and designing the system to fit the plan rather than adding resources to meet new needs on a crises-to-crises basis.

Colleges and universities have become extremely complex and planning offers a way of handling the increased number of variables which need to be considered in making decisions about academic programs, physical facilities, finances, et cetera. Planning can help define priorities. It can also assist those who are making short term operational decisions. Planning can also help an institution identify and utilize its resources more effectively.

Involvement of major elements of the university community and communication with important publics can be enhanced by effective planning.

Management science, or the art of management if you will, has provided us with tools for doing an increasingly effective job of planning. The possible application of these tools to higher education can no longer be ignored.

Shifting academic emphases and the changing social function of education require careful planning to avoid confusion, waste, and to assure that education will have maximum impact on society.

Without planning it will be difficult to maintain healthy diversity in higher education. Without planning there is a strong possibility that many institutions will drift toward common patterns of education.

Finally, education should look to the future. Like it or not, public as well as private support will go to those institutions with the best plans---with the best explicit design for the future. And, those institutions which refuse to anticipate and plan for the future will probably be planned for by some other agency in our society.

Improved planning in our colleges and universities will not happen overnight. Gradually, however, one would hope that colleges and universities will begin to accumulate experience in planning which will become increasingly well suited to their needs. At present, the immediate need seems to be for planning procedures that will help institutions 1) clarify goals and objectives as well as accomplishments in terms that will be clear to the layman; 2) show immediate improvement in operational terms; 3) begin developing adequate data to support the planning process; 4) devise techniques for implementing plans.

IV. PROCEDURES

Two critical decisions were made at the outset of this project. First, the focus of the project would be on the problem of over-all or institution-wide planning as differentiated from the problems of departmental planning, financial planning, campus planning, et cetera. And, secondly, the study would be more concerned with the process of planning than with the substance of planning per se. It was also decided that although no special effort would be made to exclude any college or university from the project, the first interest of the study would be the private sector of higher education and more particularly the middle-sized colleges of the liberal arts.

Phase I

The first step was to make a preliminary determination as to which institutions were doing planning and to begin accumulating resource materials which would inform the study. Accordingly, a form letter was sent to slightly more than one hundred college presidents, informing them of the project and requesting cooperation.

Based on the response as well as on pratical considerations such as time and expense involved, the investigator selected several colleges and universities for personal visits and in depth discussions about the planning process being used in individual institutions. These initial campus visits were intended to familiarize the investigator with problems involved in planning and to open up new avenues of inquiry as well as to acquaint him with a number of individuals who are doing good work in particular areas of planning.

At the same time the survey of planning in colleges and universities was being undertaken, the investigator started an intensive review of the literature on planning. As part of this review, those materials which seemed to be especially useful were purchased, catalogued and collected as a library of reference materials for the substance center being developed at the AFMR Manager Learning Center.

Also, this review included an effort to collect primary materials--i.e. samples of plans or parts of plans which have been developed by colleges and universities. Something more than four hundred institutions were requested to submit plans or related materials which they had developed.

Concurrently with the campus visits the investigator also attended a number of conferences that were directly or indirectly related to the problem of planning in higher education. At the same time individuals who represented other than institutional interests in planning were interviewed--i e. management consultants, association officials, et cetera.

And, as time permitted the investigator sat in on a variety of corporate planning processes at the American Foundation for Management Research Learning Center at Hamilton and reviewed some of the literature on corporate planning.

Phase II

Early in December 1967, a two-day meeting was held at the AFMR Learning Center in Hamilton for the purpose of discussing basic concepts and procedures in college and university planning. Participating in these discussions were carefully selected representatives of various interest areas in the field of planning.

Although this two-day meeting was both interesting and useful, there was no consensus among the participants as how best to approach the problems of college and university planning. Two major problems seem to negate agreement: first, there were probably too many different points of view represented within the group, and second, the deliberate lack of a structured agenda was a mistake. But based on the experience of this "seminar" it was possible to begin developing a planning process which could be tested with one or more colleges.

Immediately following this two-day meeting, a report on the first three months of the joint Colgate-AFMR study was drafted and widely circulated to colleges which had expressed an interest in the study. In addition, a cover letter asked each of the participating institutions to forward statements of mission, goals, and objectives which they had already developed. The response to this request was satisfying and the statements submitted were analyzed and compiled into a set of sample statements which could be added to the source materials at the Learning Center.

Phase III

Using the results of the study, a trial planning process for colleges and universities was developed. In essence, the overall process was subdivided into three separate units: Unit I was designed to get down descriptive statements about the University and to develop a coherent structure of objectives; Unit II was conceptualized as a data gathering period; and Unit III was designed to facilitate synthesis and strategizing. Under ordinary circumstances, it was expected that all three units of the planning process could be carried out within a six-month period: one full week for Unit I, an interim period of four to five months; and one full week for Unit III.

Stated in the simplest possible terms, Unit I was intended to deal with the "why" and the "what" of planning and Unit III with the "how" and the "when." Unit II was utilized for data gathering to build an information base for subsequent forecasting and strategizing.

Phase IV

More than half of the 14 months devoted to this study were spent conducting and evaluating pilot planning processes and working on the development of planning substance center materials. During this phase of the project each of the steps in the experimental process were separately evaluated in terms of their relevance to comprehensive institutional planning. And special attention was given to the problem of developing data inputs for the process--the investigator personally collected, indexed and analyzed the data for Colgate University in order to gain first-hand familiarity with the problems of supporting planning efforts with quantitative information.

V. OTHER APPROACHES TO PLANNING

As John Gardner pointed out in a speech at the University of Michigan's Sesquicentennial Celebration on July 13, 1967, "We need help in the difficult business of changing institutions." Fortunately, colleges and universities have not been completely negligent in the area of institutional research, operations analysis, and strategic planning. But on the basis of this project, it does seem fair to conclude that higher education is only in the very early stages of anything like sophisticated research, analysis, or planning on an institution-wide basis. There is clearly much yet to be done.

Yet something has been learned about the value and about the problems of planning. Since 1959, when Sidney Tickton called widespread attention to planning, there has been substantial progress in developing new approaches to planning.

Although this report is not the place to present an exhaustive review of the various approaches to planning which have been tried, it might be useful to present a short list of some of the kinds of things that are being done in the area of planning, in addition to the Colgate-AFMR project.

1. At the institutional level, many colleges and universities are still preparing ten-year projections, similar to those originally recommended by Sidney Tickton and subsequently required by the Ford Foundation from any college or university requesting consideration for a special grant.

2. Many of the larger institutions have established separate planning offices but it is not yet entirely clear how these offices will function. In any event, most smaller institutions will probably not be able to afford full-time planning offices and will therefore have to find other ways of meeting the demands for staff coordination of planning activities.

3. Some combinations of colleges are working together on the problem of planning. One interesting case in point is Wittenberg College which has received a grant from the Lutheran Church to study the problems of long-range planning and to draft a blueprint for an approach to planning which might be broadly applicable to the other Lutheran Colleges as well as to other private institutions.

4. At the regional level members of consortia or commissions are working together on the problems of planning. One interesting illustration is the Western Interstate Commission of Higher Education which devoted its entire Sixth Annual Institute on College Self Study for College and University Administrators to the problem of long-range planning. This institute provided the basis for publication, in April 1965, of an excellent document entitled Long-Range Planning in Higher Education.

5. Another approach to planning is reflected in the excellent book The Making of a College, by Franklin Patterson and Charles R. Longsworth, which presents plans for a new departure in higher education. This book is largely comprised of working papers for Hampshire College which is being jointly sponsored by Amherst College, Mt. Holyoke College, Smith College, and the University of Massachusetts.

6. Still another approach is reflected in the five-volume series Guidelines for Planning in Colleges and Universities developed by Charles Pinnell and Michael Wacholder for the Coordinating Board, Texas College and University System.

7. There are also agencies of State Governments showing a considerable interest in planning. In New York State for example, both the State University of New York and the University of the State of New York have established planning offices which show great promise of being of assistance to individual institutions in the State.

8. Foundations are also showing interest in the problems of planning. For example, an inventory of research in progress on higher education will be compiled by the Carnegie Commission on the Future of Higher Education, in cooperation with the Center for Research and Development in Higher Education, the University of California, Berkeley. This Commission is interested in the problems of planning at the National level.

9. Agencies of the Federal Government are also concerned about the problem of planning. The U.S. Office of Education has sponsored five projects in this area and has funded two centers for continuing study of the long term problems of education. And there are other Federal agencies, such as the National Science Foundation, which are intensely interested in the problem of planning.

10. Professional associations, such as the American Council on Education have also shown extensive interest in planning. In many instances the interest of these associations is reflected in the growing number of conferences which are being called to discuss planning and related problems.

11. Consulting firms are developing staffs to assist colleges with planning. Just two examples; the accounting firm of Peat, Marwick, Mitchell & Co. has developed a fairly sophisticated program of computer assisted planning for colleges and universities and the firm of Booz, Allen and Hamilton has developed an educational administration division that is staffed to assist colleges and universities with long-range planning as well as to carry out other consulting assignments. Other firms such as Taylor, Leiberfeld, and Heldman, Inc. have been assisting colleges and universities with problems such as campus planning.

12. It should also be noted that centers for research and development in higher education are giving serious attention to matters of planning. The Educational Development Program at Michigan State University is a case in point.

13. Finally, for the purpose of this report, it should be noted that there is a steady increase in the number of journal articles as well as in the number of separate publications which are concerned with planning.

The Colgate-AFMR project examined as much of the current work as time permitted and proceeded with the attitude that planning is vitally important to the future of higher education and with the optimistic hope that increasingly effective ways of carrying out planning can be found.

VI. AN OVERVIEW OF THE PILOT PROCESS DEVELOPED FOR COLGATE UNIVERSITY AND FRANKLIN AND MARSHALL COLLEGE.

Planning implies a structured strategy, resulting from the conscious use of intelligence to anticipate the future; to order action; and to coordinate efforts to get more of what we want from the available recources than would otherwise be possible. Regardless of whether we are talking about forward planning, long-range planning, projective planning,--planning is still the device of trying to get down in some meaningful way all of the parts of a system so that we can see or predict the effects which will occur in any one part if any other part is changed. Stated in another way, planning is an attempt to deal with a somewhat uncertain future by 1) establishing specific objectives; 2) gathering data to quantify those objectives; 3) using this information to formulate broad strategies and specific programs which are based on alternative ways of attaining objectives.

Contrary to what some believe, planning is not making a lot of decisions now about what to do in the future. Rather it is an attempt, on the part of individuals or institutions, to develop an explicit design for the future which will organize the variables which must be dealt with into some coherent pattern and which, when organized, will provide a structured frame-of-reference within which future decisions can be made more effectively when the time has come to make them. Viewed in yet another way, planning is an attitude and a process. It is an attitude in the sense that one can accept or reject planning as a useful management tool. It is a process in the sense that it is ongoing and cyclical in nature.

Regardless of how one defines planning or what ones attitude is toward planning, it appears that it has become an activity of increasing importance to institutions of higher education. And, as Homer Babbidge, President of the University of Connecticut, has pointed out:

> "Any activity or object important to people, has figuratively speaking, a thousand faces. . .and so it is with planning. It is seen from as many different perspectives as there are viewers, and there has been so much attention to the subject in recent years that the phenonmenon of polarization has begun to set in. There are advocates and there are opponents and they come in all shades. . .how, then, does one walk around this mountainous subject. . ."

One of the objectives of this study was to "walk around the mountainous subject of planning" and to develop a systematic, valid process which could be applied to colleges and universities interested in doing comprehensive planning in a compressed period of time. The planning process which emerged from the study hopefully offers a method of resolving at least part of the problem resulting from fragmented efforts at planning which are so much in evidence at colleges and universities throughout the nation. In short, the process outlined below seeks to compress the amount of time required for planning and yet provide a coordinated approach to the problem of developing a pratical, flexible, and feasible plan which will serve as a broad frame-of-reference for individual institutions. This process was also designed with a view to helping individual participants learn more about planning, to help them develop more systematic ways of thinking about the future, and to give them a background of experience which should prove useful in implementing planning on a regular basis.

This process has been tested by a planning team from Colgate

University and is currently undergoing its second pilot application with a team of planners from Franklin and Marshall College. Based on these early experiences the pilot procedure outlined here appears eminently applicable to other colleges and universities.

In essence this process was derived from four sources: 1) a review of the available literature on planning; 2) an intensive investigation of planning practices at selected colleges and universities; 3) observation of planning practices in business and industry; 4) consultations with a number of experts in the area of planning, including representatives of colleges and universities, business and industry, government agencies, and major consulting firms.

As this process began to take form it became surprisingly clear that there was an inherent logic in any planning activity. Thus, there is nothing new in this particular outline of a planning process except in the arrangement of the several parts of the process which must be carried out by any planner. What is different about the process are the conditions under which it is undertaken. Because these conditions appear so critical to effective planning they are enumerated here prior to presenting an outline of the process which was used with Colgate University and Franklin and Marshall College.

Conditions for Planning

There are many possible answers to the question of who should do the planning for a college or university, ranging from the recommendation that all planning should be done by a single individual to the suggestion that planning must involve the active participation of all members of the community concerned. In any particular instance, the answer to the question is likely to be determined by a response to a prior question--should planning be done from the top down or from the bottom up?

As a result of this study, the principal investigator takes a strong position that effective planning must flow from the top down,--from the general or comprehensive level to the more specific detailed planning of smaller units of the institution. Although it is possible to make a case for doing sub-system or component planning first and letting the results of such efforts add up to a total institutional plan, it seems to make more sense to establish the comprehensive or broad guidelines first, especially in terms of institutional objectives, and then let the results of this effort cascade down through the system.

Since it is not the purpose of this report to argue the relative merits of different approaches to planning, it will suffice to note that the recommendations which follow are based on the assumption that, in the first instance, planning is the primary responsibility of the president working with a small team of individuals selected by him. Experience with Colgate and with Franklin and Marshall indicates that a planning team selected by the president should be comprised of no fewer than five nor more than twelve individuals whom the president relies on for advice and counsel with regard to matters of planning.

There appears to be a group dynamic which sets these limits on the number of participants who can be involved in planning discussions. In a group of fewer than five it becomes extremely difficult to carry on meaningful discussions which reflect a variety of points of view. By the same token, groups larger than twelve seem to have a natural tendency to subdivide into smaller groups which present serious obstacles in the maintenance of concerted attention and cohesiveness throughout the process. Ideally, based on the experience with college and university planning teams as well as experience with business planning teams, a team comprised of seven or eight individuals appears to be an optimum size. It is also important to note that experience to date demonstrates that the planning team should consist of only those individuals the president feels are essential to the planning process. In any given instance, there might be a number of individuals who could be useful during planning discussions but unless they are important in a continuing way, their presence seems to be distracting.[1] Planning then, in the first instance, becomes the responsibility of the president and his cabinet or his chief advisors meeting in something like an executive session.

Ideally, the planning process should be directed by a neutral individual who is thoroughly familiar with planning techniques but who has no direct personal interest in the substance of plans for any particular institution. The director or moderator is a key man in leading a planning team through a carefully structured process. He can help systematize thinking and decision making; he can insist on a certain rigor in the process; he can bring special knowledge and skills to the planning process; and he can handle the required administrative details connected with planning under these conditions. It is also important that the director stay with the planning team throughout the process accepting responsibility for maintaining continuity.

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[1] The Colgate planning team included the Chairman of the Board of Trustees the President; two Vice Presidents; two Deans; and four elected representatives of the Faculty. The composition of the planning team was slightly modified for Franklin and Marshall College and was constituted as follows: Chairman of the Board of Overseers; President; three Vice Presidents; two Deans; and one Faculty member.

Planning must be more than a casual week-end activity. The concentrated effort required is best carried out in an environment especially designed to facilitate the planning process and free from the distractions of the work-a-day world. (The AFMR Manager Learning Center, designed for corporate planning processes, was readily adaptable to the needs of college and university planning. The conference rooms provide an excellent physical setting for discussion and for maximum personal comfort as well as providing a variety of audiovisual devices for supplementing the planning discussions. In addition, the Center is exceptionally well suited to the needs of planning teams in terms of library resources, secretarial assistance, lounge facilities, study carels, et cetera.)

Effective planning requires use of extensive resource materials, including the best of current knowledge and practice in higher education. In the case of college and university planning, for instance, a special substance center of planning materials was developed prior to attempting the pilot processes.

The planning process should be orderly, and should follow a carefully developed agenda. The recommended steps for this agenda are presented below.

Pilot Process

In the broadest terms the planning process developed for Colgate and now being applied to Franklin and Marshall College involved two one-week sessions at the AFMR Learning Center, separated by an interim period for the development of necessary institutional data inputs.

Prior to beginning the planning process the planning teams from

Colgate and Franklin and Marshall were given a brief orientation on their own campus but no attempt was made to do any specific preparatory work before coming to the AFMR Learning Center.

First Five-Day Session At The Center

Under the guidance of the director, the first week of the pilot process attempted to:

--explicitly define, and agree upon, the basic beliefs or underlying philosophy of the institution; its mission; the policies which will guide its future development; the nature and function of its organization; and its fundamental characteristics;

--identify major points of interaction with the environment within which the institution must operate;

--analyze existing resources and identify strong areas that should be exploited. . .and weak areas that should be strenghtened;

--develop assumptions about the future on matters which cannot be logically predicted;

--establish tentative objectives for the long-term continuing development of the institution, and specific targets to be reached during the planning period;

--determine what kinds of information will be necessary to confirm the present status of the institution and to evaluate possible strategies for the future;

--assign specific data gathering tasks to members of the team, and realistic due dates for assembling these data. On the basis of these due dates, a second five-day session is scheduled.

It is imperative that agreement be reached on these general levels to establish a foundation for subsequent planning and to provide a frame-of-reference for collecting data. This serves also to help the planning team develop a healthy self conciousness of the institution and to pave the way for an objective and systematic approach to planning. Briefly, the justification for spending one full week developing this self-conciousness is that such an effort helps overcome the obstacles created by highly subjective thinking about the institution as well as to establish a foundation for objective testing of plans for the future.

The Data-Gathering Phase

The length of the period between the two one-week planning sessions is determined by the complexity and availability of the information required. This interim period might range from two to six months (in Colgate's case, development of data inputs required about four months). While it should be kept as short as possible to conserve the momentum of the process, it is vital that all necessary input data are available in a meaningful form. Data may be collected for whatever historical period seems significant--probably not less than five nor more than ten years.

Input data are submitted to the director at least two weeks before the second session. This data is indexed and analyzed prior to the second week to help:

--determine the dynamic characteristics of the institution in quantitative terms;

--establish feasibility of preliminary objectives in view of economic conditions and outlook. . .trends in higher education. . .and other environmental data;

--organize analyzed data so that they provide quick, pertinent references during the final planning phase, including the elimination of information which might be interesting in other contexts but which does not contribute to helping the planning team perceive the broad outlines of the institution.

Second Five-Day Session At The Center

The second week of the pilot process concentrated on an analysis of historical information to identify significant internal trends and their relationship to environmental influences. Having completed an analysis of basic trends the process proceeded to:

- --define planning "gaps"--the difference between where the natural momentum of the institution is taking it and where it wants to go;
- --modify preliminary objectives;
- --analyze alternative courses of action;
- --break down strategic course into specific programs and action assignments, listing exact standards of performance and estimated times of completion and establishing priorities;
- --design specifications for supplementary planning efforts to be carried out in component units of the institution;
- --agree on timing, degree and format in which planning decisions will be communicated to other areas of the organization and determine how best to involve faculty, students and others in the overall planning effort;
- --develop a planning guide for future planning

Admittedly, when this planning process is over an institution has completed a planning cycle under highly artifical conditions. However, it is a real planning cycle and a valid one. The reason for forcing an institution through such a complete cycle in a compressed period of time is to provide the planning team with a basis of experience which is needed to establish a regular planning procedure and at the same time to develop a comprehensive plan for action. At the very least the process gives the planning team a clear concept of the future in light of the past. It also clarifies the team's understanding of what people have to do to achieve institutional goals. This kind of conceptualization--or attempt at conceptualization--is likely to be powerful whether or not it is accurate to the last detail.

Supplementing The Process

During the process every effort was made to facilitate discussions and to make required resource materials readily available. From the outset for example, the conclusions of all discussions were written down and posted on the magnetically treated walls of the conference room. Also, typewritten summaries of all discussions were prepared for the individual notebooks of team members. Thus, a running record was kept of what happened which, in addition to developing a systematic frame-of-reference for subsequent steps in the process, facilitated a step by step development of a plan. A reiterative doubling back on previous discussions helped assure the internal consistency of the plan and assisted the planners in beginning to comprehend the total picture. At the end of two weeks the individual pieces of the puzzle fitin place, giving a clear overview of the institutional plan.

Quite apart from literally surrounding the planning team with the results of their work, other supplemental devices were used to overcome some of the predictable obstacles in planning discussions. When, for instance, the Colgate team had difficulty attempting to define the institutional mission, the director was able to call up slides from a carefully prepared collection which demonstrated that others have succeeded in defining their mission. He was also able to provide a broad cross section of sample mission statements which were useful in stimulating productive discussion. Such slides were available for every step of the process. The use of these slides served to move the discussion along and proved to be a key factor in intensifying and compressing the work of the planning team.

In those instances where individual members of the planning team wished to consult outside references or to review plans developed by other colleges and universities, such materials were readily accessible in the library just outside the conference room. Indeed, each member of the team had a private study carel outside the conference room where he could maintain a collection of materials which were particularly relevant to his special area of interest. The most widely used materials were stored on microfilm cartidges which could be used with a high speed electronic retrieval and print out system.

Stated most succinctly, the Learning Center and all its related resources had been carefully planned to meet almost any need which might arise during the process. Thus, the process was almost never delayed or frustrated by the need for resource materials. And even in the rare instance where it was necessary to seek assistance beyond the Learning Center, a two-way telephone communication system which put the entire team in instant voice-to-voice contact with outsiders was available for use.

VII. SPECIFIC STEPS IN THE PLANNING PROCESS DEVELOPED FOR COLGATE UNIVERSITY AND FRANKLIN AND MARSHALL COLLEGE

Each of the individual steps in the pilot planning process for college and universities is presented here in four parts: definition; rationale; a few illustrative examples from Colgate's pilot planning process; and comments.

1. **STATEMENT OF BELIEF**: statements of principles or philosophy of the institution which are widely accepted by the University community.

Rationale: These statements form the foundation upon which planning is built. Unless there is a common understanding of the underlying principles or philosophy of the institution which are widely regarded as being nonarguable there is a real danger that the efforts of the planning team will be frustrated. From this first step forward it is essential to record the results of the discussions in writing and in a way that can be kept in front of the planning team.

Examples: (it is to be understood that throughout this outline only very limited examples are used to illustrate each of the steps. In every instance the Colgate planning team generated a great many more statements than can be included here.)

--Colgate believes that education, as distinct from professional or technical training, focuses on the individual student and seeks to help him educate himself as a rational, sensitive, and creative human being.

--Colgate is firmly convinced that there are clear and precious advantages which result from relative smallness in an undergraduate teaching institution; such as frequent personal contact between faculty and students which is fundamental to its central educational purpose.

--Colgate believes that the residential program is an inherent part of the educational process.

Comment: There is some disagreement amongst planners as to whether this step is necessary at all. Based on the experience during this study it seems clear that most institutions have done less than an adequate job of setting down such statements of belief. In those instances where these statements already exist perhaps a simple review would be all that is necessary to start the planning process. But where there are no clear, acceptable statements it is important that they be developed by the planning team.

There is also some disagreement as to whether statements of belief ought to be the first step in the plannimg process. This step was used to start the pilot process for two reasons: first, in any logical development of understanding of an institution this would necessarily be the first step and second, clarification of statements of belief seems to facilitate subsequent discussion in the planning process, particularly in terms of providing a takeoff point for considering the critical problem of mission.

2. MISSION: The chief function or responsibility of an institution. The broadest, most comprehensive statement that can be made about the central or continuing purpose. The significant or distinctive purpose of an institution that clarifies its role in higher education or in the larger society which higher education seeks to serve and which justifies its continuing existence.

Rationale: The statement of mission is clearly one of the most critical steps in the planning process. Without this broad guideline it is extremely difficult to develop a coherent plan. An examination of planning efforts in a variety of institutions has served to demonstrate that failure to set down a clear, concise statement of mission is one of the chief problems in planning. Such a statement should give the institution a sense of direction and serve as the major criterion against which other elements of the planning process can be evaluated. When completed, the plan and all of its constituent parts should work toward establishing a momentum which advances the institutional mission.

Example: Colgate University's mission is to provide a superior residential undergraduate experience in the liberal arts which will be relevant to contemporary issues of society and will help qualified students prepare themselves mentally and physically for moral, intellectual, social, and aesthetic self-fulfillment and leadership.

Comment: This is likely to be the first major obstacle in the planning process. Most individuals are inclined to feel that they intuitively understand the mission of the institution. And indeed perhaps they do. But this understanding seems to vary significantly from individual to individual within a planning team and it is absolutely essential that there be a common understanding as to what the mission is. This, then, is the first critical checkpoint--the cornerstone--in the planning process which follows.

3. BASIC FUNCTIONS: Amplification of the mission statement to enumerate and clarify the separate continuing functions of the institution.

Rationale: The chief reason for including this step is that it subdivides the statement of mission into its component parts and rank orders the major functions of the institution, including those which may not be referred to in the mission statement. At a subsequent point in the process, an effort will be made to set goals and objectives for each of these functions.

Examples:

--The primary function of Colgate University is teaching, interpreted in terms of the stated mission.

--Although Colgate does not view itself, in an institutional sense, as a social or political critic, it does provide a congenial atmosphere in which individual members of the faculty and staff can function as critics, public servants, et cetera, an atmosphere in which they can feel free to express their personal views without fear of reprisal.

--A subsidiary function of Colgate University it to prepare teachers and other personnel for the public schools.

Comment: It may or may not be important to include this step in all planning processes. But, since the enumeration of major functions (which should include at least teaching, research, and service) is not likely to take a great deal of time, the inclusion of this step is recommended because it provides a useful quick review which, combined with statements of belief and the statement of mission, helps establish the foundation upon which planning is built. With the completion of this step, the planning team has a common understanding of why the institution exists.

4. CHARACTERISTICS: What are the special or identifying traits of the institution - descriptive statements about the nature of the institution?

Rationale: Listing the characteristics of the institution is the beginning of a rather complete institutional inventory or audit that will give an overview of what the institution is here and now. The next six steps are all part of this institutional inventory and are part of an attempt to get a reasonably comprehensive description of the institution as it now exist.

Examples:

--The curriculum is characterized by special emphasis on a highly effective and well developed program of general education.

--With some specific exceptions the faculty is characterized as effective in carrying out its primary commitment to teaching. It is well prepared in terms of educational background but relatively weak on productive scholarship.

--In economic and social terms the student body is trending toward more heterogeneity and tends to come from middle class and upper middle class backgrounds.

--Colgate has potential for even greater excellence.

Comment: Several attempts have been made to develop a pencil and paper approach to the institutional inventory and although there is some promise that it might be possible to speed up this part of the process there appears to be no immediate substitute for extended discussions on the part of the planning team which will document the status quo. Since one of the reasons for including this particular step is to identify major areas of difference in the views members of the planning team have of their institution, it may be possible to develop an instrument along the lines of the Semantic Differential, the College Characteristics Index or the Educational Testing Service's CUES which will rapidly identify differences in conceptualization amongst the members of the planning team and make for some economy in the process by enabling the director to concentrate attention on only the differences without having to spend time detailing the similarities as well.

5. ORGANIZATION: A description of the lines responsibility and authority within the institution, including committee structure, channels of communication, et cetera. Usually presented in the form of a table of organization.

Rationale: In addition to describing simply the organization as it exists, this step should include an analysis of how the organization really works. The chief value of carrying out this step is that it provides a guideline for the planning team in determining how plans will ultimately be implemented. At the same time, it serves as a starting point in the event that some organizational modifications will be needed in order to implement effectively plans.

Example:

--An illustrative example of this step in the planning process would require more space seems warrented in this report.

Comment: In discussing organization there is a strong possibility that the planning team might want to get deeply involved in complete overhaul of organizational structure. This should be avoided at this point since such restructuring is a very special problem requiring more time than is available during a process such as is outlined here. Minor changes might be agreed upon and the planning team might also wish to set a separate time for a more complete analysis of organization. For the purposes of planning, however, it should suffice to establish a broad outline of the organization as it now stands and to identify any major areas of weakness which should be corrected at a later time.

5. BASIC POLICIES: The arbitrary, but specific limits placed on the freedom of decision, by mutual agreement of the governing board and the major constituencies. These policies cannot be changed or violated without changing the basic nature of the institution. Operational policies, in contrast, are "standardized decisions" recorded for operating convenience.

Rationale: Basic Policy constraints are generally not well understood and are often ignored by colleges and universities. Part of the problem seems to stem from the fact that such basic policies are not explicitly recorded. But, recorded or not, most institutions are confronted with real policy constraints which should be identified. Careful discussion of basic policies can help the planning team avoid needless internal confusion, indeed even conflicts, and can obviate the need for endless discussion in those areas where prior policy decisions have determined the fundamental course or nature of the institution.

Examples:

--As a matter of policy, Colgate is essentially a small (something under 2,000 undergraduates) independent, residential undergraduate college devoted to the liberal arts.

--The governance of the University rests with the Board of Trustees which exercises its legal authority in consultation with the appropriate constituencies through the Office of the President.

--The faculty has primary responsibility for such fundamental areas as curriculum subject matter and methods of instruction, research, faculty status, and those aspects of student life which relate to the educational process. On these matters the power of review or final decision lodged in the governing board or delegated by it to the President should be exercised adversely only in exceptional circumstances, and for reasons communicated to the faculty. It is desirable that the faculty should, following such communication, have opportunity for further consideration and further transmittal of its views to the President or Board. Budgets, manpower limitations, the time element and the policies of other groups, bodies and agencies having jurisdiction over the institution may set limits of realization of faculty advice. The faculty sets the requirements for the degrees offered in course, determines when the requirements have been met, and authorizes the President and Board to grant the degrees thus achieved.

--All members of the College Community are guaranteed freedom of expression without fear of reprisal for the substance of their views, including individual views about institutional policy and operation.

--In the management of the University's resources, it is recognized that the educational values of its programs rather than the financial values are the most important considerations. Financial policy recognizes the fact that the educational and general expenditure cannot be supported by student tuition and fees alone and that all auxiliary operations of the University must at least carry themselves and whenever possible, when consistent with the overall educational aims of the University, contribute to the support of the educational and general budget.

Comment: At first glance this step in the process will strike most planning teams as being unnecessary. Largely for that very reason it is a critical step in the process. In addition to setting down basic policies, in those instances where such policies are not immediately clear, there probably should be some discussion of policy making procedures and the possible need for an institutional policy manual.

7. ENVIRONMENT: A description of the environment within which the institution operates, especially in terms of factors over which the institution has no direct control but which influence its operation.

Rationale: Every institution in our society is influenced by factors beyond the control of the particular institution. Thus, in planning, it is essential to identify the key points of interaction between the institution and the economic, social, and political environment within which it exists. At the same time, this step is included as the first attempt at identifying significant environmental trends which may have implications for institutional planning.

Examples:

--Competiton with other institutions in society, profit and nonprofit which influence ability to recruit and retain personnel.

--The knowledge explosion. Older members of the faculty will have an increasingly difficult time keeping abreast of their professional fields. Faculty will be increasingly specialized.

--Improved high school programs: better prepared students with different aspirations and expectations than in the past.

--Cooperative arrangements with other institutions.

Comment: Institutions of higher education can no longer be insular and must of necessity find ways of being increasingly responsive to the environment around them. The first step, for purposes of long-range planning, is to include important environmental factors in the overall description of the institution. In addition to the value this step has for the immediate planning process, it may also assist the planning team in determining what kinds of environmental data ought to be maintained as a routine way of keeping in constant touch with the influences the environment has on the institution.

8. STRENGTHS: Characteristics or intangible assets which provide a definite advantage in carrying out the mission. Usually imply an opportunity for exploitation beyond the present level of use.

9. WEAKNESSES: Characteristics or deficiencies which impair ability to carry out the mission. Usually imply a threat of possible further loss of competitive position.

Rationale: Having completed the preceeding steps in the planning process, the team is now in a position to begin identifying specific strengths and weaknesses that have some bearing on Long-range planning. This is perhaps the simplest and easiest way of concluding a description of the institution as it now exists and of beginning to set down the major areas in which planning will be required.

Examples:

- --Long heritage of high quality--good reputation outside the College.
- --The general acceptance of the primary importance of teaching.
- --Active and loyal alumni.
- --Some faculty are interested in innovation and experimentation and the majority are receptive to new ideas. There is a permissive atmosphere which invites innovation and experimentation.
- --The most significant weakness seems to be that for Colgate's aspiration it is underfinanced.
- --Unevenness in the quality of the faculty.
- --There are some weak departments.
- --Inefficient use of time and facilities (scheduling).

Comment: Setting down strengths and weaknesses should not be a particularly difficult exercise. Given success in the previous steps in the process, these two steps can serve to motivate a rather complete review of discussions up to this time and should also serve as the first broad cut at focusing the planning team's attention on what needs to be done in the future.

10. ASSUMPTIONS: Problematical statements about the future which cannot be predicted by logical processes and are beyond the control of the institution, but which must be taken for granted until some change is warranted.

Rationale: There are always a number of factors over which the institution has relatively little or no control and the exact impact of which cannot be logically predicted. Thus, it becomes crucial to set down the assumptions which will serve to inform the remainder of the planning process. The judgment of the planning team regarding what assumptions need to be made about the future is basic to all subsequent efforts.

Examples:

- --Educational technology will provide significantly greater appropriate presentations by prominent teachers/scholars, probably with two-way communications by 1980.
- --Non-book/periodical media will constitute a significant part of the scholarly literature with related automated research facilities in at least some areas by 1980.
- --An increasing proportion of available financial support for private institutions will go to the colleges with the most imaginative programs.
- --Geographical isolation will be less significant in the affairs of the University.
- --Inflation will average 3½% per year.

Comment: The attempt to set down assumptions for the future should begin with a review of all previous discussions and a search for the underlying assumptions in the work the planning team has done up to this point in the process. The value of much of the preceeding work is likely to become apparent when the team begins using its judgment to set down assumptions about the future. Once assumptions have been made they should be periodically reviewed and revised as changing conditions necessitate. Since assumptions are dealing with the unpredictable future they should be reviewed periodically because when an assumption changes, it will undoubtedly become necessary to make other changes in the institutional plan. In any event, setting down assumptions is more than merely an exercise--they should be viewed as important points of reference in making future decisions.

11. CONTINUING GOALS: Quantitative or qualitative statements which reflect broad aims for desired levels of achievement for the major components of the institution. Goals represent continuing intent and serve as a guide in formulating specific objectives, allocating resources and developing a plan for accomplishment. Taken together, goals tend to describe the institution as it ought to be.

Rationale: With this step, the planning team begins to focus on where the institution should be headed. Planning can be thought of, in John Gardner's words, "As attending to the goals we ought to be thinking about and never do--the facts we do not like to face and the questions we lack the courage to ask." Having completed a discussion of why the institution exists, having developed an inventory which describes the status quo, and having set down assumptions about the unpredictable future, the planning team should be ready to answer the question, "Where do we want to go in the future?"

Examples:

--To strengthen the tradition of a community of teacher-scholars and students living and working together in an intellectual and social environment that promotes interchange and mutual enrichment among all its component parts.

--To maintain and enrich a wide range of intellectual, cultural, social and athletic activities, which give the undergraduate the opportunity to pursue individually or in groups the kinds of experiences which are not readily available in classroom or laboratory.

--To provide every student whose program makes it educationally desirable an off-campus educational experience during his undergraduate years.

--To implement a program of coeducation which will not deteriorate the present quality of the undergraduate program.

Comment: Many attempts at planning try to begin with a discussion of goals. But it should be noted that in this process, any consideration of goals is deliberately delayed until some background for such discussions has been established. One of the difficult parts of this process is to hold the planning team back--to keep them from discussing goals--until the director is reasonably confident that they are ready for this step. But, unless discussion of goals is rather deliberately delayed, the planning team is apt to get hopelessly confused with regard to the necessary separation of means and ends.

As will be noted, continuing goals and specific objectives are also separate steps in this process. One might argue that these two steps can be combined. But experience with Colgate and with Franklin and Marshall strongly indicates the desirability of separating the two steps. Continuing goals are interpreted to be the broad, continuing aims of the institution and may or may not be expressed in specific quantitative terms. Once the broad goals structure has been established, it then becomes possible to examine each of the goals to derive specific statements of objectives.

12. OBJECTIVES: Specific ends toward which effort or ambition is directed. Objectives should be achievable at a definite point in time which is usually specified. May be short or long range. The objective structure should provide a guide to decisions or actions. Combined with continuing goals, objectives also provide a basis for data collection and analysis which will serve to inform the planning process.

Rationale: The objective structure of the plan becomes the controlling influence in gathering data and in working out details of the plan.

Examples:

--Size of the College: the total on campus enrollment in full-time equivalents will be 2,400 by 1980, composed of roughly 1,600 men, 800 women, plus 150 graduate students but no doctoral programs.

--Maintain student aid at a constant fraction of educational and general expenses throughout the decade, using 1968-69 as a base year, without regard for the source of funds.

--Maintain an A, A, AA, AA rating on AAUP Scales for faculty compensation throughout the decade.

--Priorities for a construction schedule. (A list of some two dozen construction projects, which need not be listed here, was developed.)

--Year-round operation of the College.

--Average faculty salary of $30,000 by 1980.

Comment: Because of the crucial impact of this step in the remainder of the planning process, objectives should be worked out with great care. Here, almost more than any place else in the process, the planning team should be given ample time to discuss and debate the statement of objectives. In one sense, planning may even be thought of as management by objectives and thus these specific targets need to be made as explicit and specific as possible, preferably in quantitative and measurable terms.

13. DATA INPUTS: What kinds of data, in what form, are needed to develop an information base for analysis of institutional trends, forecasts of the future, and establishment of quantitative measures of performance?

Rationale: Because there is a common tendency to collect more data than is necessary for planning purposes and thus confuse the process, it seems important to have the planning team agree on exactly what kind of information is required for planning purposes.

Example: The broad categories under which data was collected are listed here for reference. (Most data was collected for the period 1962-63 to 1968-69.)

- --Admissions
- --Data on national pool of candidates, including breakdown in terms of ability to finance an education and qualitative characteristics as measured by SAT scores.
- --Student Aid
- --Faculty Information
  - A. Total Personnel in Educational Operations
  - B. Compensation
  - C. Average Teaching Load
  - D. Retirement and Resignations
  - E. Net Additions
  - F. Average Age
  - G. Percent Ph.D.
  - H. Other Professional Personnel in Non-Academic Operations
- --Analysis of Institutions granting Highest Degrees earned by Colgate Faculty
- --Data on National Faculty Salaries
- --National Data on Availability of Faculty
- --Distribution of Enrollments by Department and Division
- --Gross Calculation of Instruction Loads
- --Instructional Space Needs
- --Facilities Inventory
- --Total Income
- --Total Expenditures
- --Data on Expenditures per Student in Major Expense Categories
- --Assumptions for Income Projections
- --Assumptions for Expense Projections
- --Summary of General Administrative Expenses
- --Summary of Instructional Expense
- --Summary of Library Expense

--Summary of General Institutional Expense

--Summary of Public Services Expense

--Summary of Founders Fund Expense

--Summary of Student Services Expense

--Growth of Assets - Total Assets

--Growth of Assets - Endowment Fund

--Growth of Assets - Plant Funds

--Sources of Educational and General, and Student Aid Income

--Distribution of Educational and General, and Student Aid Expense

--Comparative Data from other Institutions

--Financial Profile of Colgate University 1962-63 to 1973-74

--Data on National Individual Incomes, showing change for Period 1956-1965

--Data on Development Activities at Colgate

--Analysis of Alumni Population

Comment: The first decision that needs to be made is how much data, in historical terms, is required. As a general suggestion, data should not be collected back beyond the point in history when any significant change occurred in the institution, such as the appointment of a new president or major changes in the size of the College or the curriculum, et cetera. After making a judgment about the historical period to be reviewed, the planning team needs to decide what specific information is needed and in what form. Once the data has been collected it can be analyzed prior to a continuation of the planning process. Space does not permit a review of the procedures for analysis nor a presentation of the recommended format in which data ought to be made available to members of the planning team. Moreover, since the analysis and presentation of data is likely to vary from institution to institution it seemed unnecessary to complicate this report by the inclusion of a great deal of illustrative material.

14. TREND ANALYSIS: Seeks to identify dynamics of institution as it now exists. The assumption is that trends will continue unless specifically changed or unless environmental influences "force" change.

Rationale: The purpose of the trend analysis is to attempt to establish the base lines of the natural momentum of the institution as a starting point in determining the magnitude of the planning gaps which must be filled.

Examples: This analysis is developed in terms of ratios similar to the sample presented here. The use of ratios speeds the process of analysis and avoids the confusion that usually results from attempting to examine raw data.

--AVERAGE EXPENSE PER STUDENT

	1963	1964	1965	1966	1967	1968
Gen.Adm./Edu.&Gen.	.065	.071	.062	.065	.063	.061
Student Services/Edu.& Gen.	.126	.110	.100	.100	.100	.112
Pub.Services/Edu.&Gen.	.068	.075	.069	.079	.074	.072
Gen.Institutional/Edu.& Gen.	.012	.015	.031	.039	.040	.040
Instr.'l.&Research/Edu.& Gen.	.555	.564	.530	.516	.520	.524
Libraries/Edu.&Gen.	.053	.049	.050	.049	.049	.049
Operational&Maintenance/ Edu.&Gen.	.122	.108	.110	.109	.125	.098

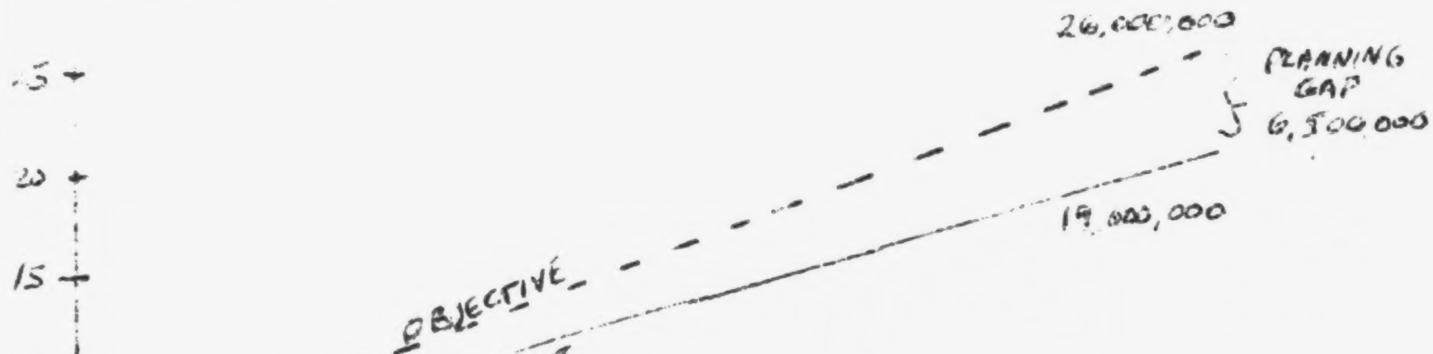
15. PLANNING GAPS: The difference between trend forecasts and desired quantitative objectives.

Rationale: Planning gaps are derived from what the institution has indicated it would like to do in terms of specific objectives and the natural momentum which is expressed as a forecast derived from historical data.

Example: Two examples are included: 1) an extract from a tabular presentation, and 2) a sample of a graphic representation of planning gaps.

CATEGORY	1967-68 ACTUAL	1980 FORECAST	1980 OBJECTIVE	PLANNING GAP
Undergraduate Enrollment	1,850	3,680	2,400	-1,280
Tuition & Fees	2,100	4,400	4,500	+ 100
Admissions (Freshmen)				
Applications	2,812	4,500	5,000	+ 500
Offered Admissions	995	1,758		
Enrolled	530	950	750	- 200
Budgeted Scholarships	484,000	1,037,000	1,500,000	+463,000
Instruction & Research Expense	$2,279,000	$6,800,000	$8,000,000	$+1,200,000

TOTAL INCOME (IN MILLIONS)



16. MODIFICATION OF OBJECTIVES

Rationale: Having determined the nature of the planning gaps, these can be added up rather quickly to give an overview of the planning problem. In all likelihood the institutional objectives will call for programs of greater magnitude than is realistically possible. Therefore, it becomes imperative at this point in the process to review and modify objectives to bring aspirations in line with reality.

Comment: Even if the overall objective structure is not modified by either changing specific objectives or eliminating objectives, this step requires the planning team to reorder the objectives in terms of priorities.

STRATEGIES, PROGRAMS, ACTION ASSIGNMENTS.

[Since these three steps are all part of the problem of determining how the institution will go about accomplishing its objectives, they are presented together. In essence, the question of "how" is taken up first in the most general terms (strategies) which are then broken down into programs which can be detailed in very specific terms (action assignments).]

Rationale: The entire purpose of everything that has happened in this process thus far is to provide a sound foundation for determining how the institution ought to move toward its objectives.

17. STRATEGIES: Broad guidelines for employing the forces of the institution to afford maximum support of goals and achievement of specific objectives.

18. PROGRAMS: Programs are derived from strategies and constitute a brief outline of a schedule or system under which action may be taken toward desired goals or objectives. Usually stated as proposed projects or plans.

19. ACTION ASSIGNMENTS: Assignments to particular individuals, working on a detailed time schedule, for specific action steps required in carrying out programs.

Examples:

STRATEGIES, PROGRAMS, ACTION STEPS

Goal: To survive as a four-year liberal arts college at a level where Colgate can maintain and improve itself as one of the best small independent colleges in the country.

  Stategy: Strengthen faculty.

    Program A: Eliminate weak individuals.

      Action: 1. Dean of Faculty to review and recommend modification of retirement policy.

        2. Devise and institute annual performance report for all non-tenured faculty members.

    Program B: Strengthen marginal tenured faculty members.

  Strategy: Improve the curriculum to increasingly emphasize the students independent role in the learning process (on and off campus).

    Program A: Formally commit each faculty member to the supervision, if requested, of at least 2 Independent Study Projects each semester.

Comment: At this point in the process the pieces of the puzzle begin to fit together. Although this in many ways is a satisfying part of the process, it is also an extremely difficult one for many college and university planners. If the experience with Colgate University and Franklin and Marshall College are any indication of what might happen at other institutions, it seems fair to conclude that most college and university planners feel somehow more comfortable describing their institutions and determining where they would like to go than they are in dealing with the tough problem of deciding how they want to get there. Moving from the general to the particular (strategy to action assignment) seems to facilitate these steps.

20. PLANNING PROCEDURE: No definition or rationale is needed here. It will suffice to simply put in the illustration of the planning procedure and timetable for Colgate University as developed by its planning team. But special emphasis should be given to the importance of working out this kind of a schedule for implementation of additional planning activities at the University.

Example:

Planning Procedure for Colgate University

Plans will be formulated on the basis of a ten-year forecast which will be recast every five years according to the following schedule. The five-year review will be supplemented by an annual review, usually in September of each year.

SEPTEMBER (1968)	Initial institutional plan completed by the Long-Range Planning Committee, October 1.
OCTOBER	Review by the Educational Policy Committee and the Student Planning Committee. Results of review returned to Long-Range Planning Committee by November 1.
NOVEMBER	Revision of initial plan by Long-Range Planning Committee.
DECEMBER	Review by the Executive Committee of the Board of Trustees.
JANUARY	Preliminary review by the Board of Trustees. Following tentative approval, plans submitted to Divisional Planning Committees as well as to other sub-systems of the University (e.g., Vice President for Business and Finance) for provisional, detailed planning to be completed by May 15.

FEBRUARY MARCH APRIL MAY	Detailed planning by sub-systems of the University.
JUNE	Review and revision of sub-system plans by Long-Range Planning Committee.
JULY	Detailed provisional institutional plan returned to sub-systems for review and revision.
AUGUST	Revised institutional plan completed by August 15 and submitted for analysis in terms of requirements in the areas of manpower, facilities, admissions.
SEPTEMBER	Manpower, facilities and admissions plans completed by September 15.
OCTOBER	Final integrated institutional plan submitted to the Educational Policy Committee and Student Planning Committee for approval by October 15. Final financial plan prepared for review by the Executive Committee of the Board of Trustees.
NOVEMBER	Plan to the Vice President for Development for preliminary development plan.
DECEMBER	Detailed development planning.
JANUARY (1970)	Final approval of institutional plan by Board of Trustees.

21. COMPONENT PLANS: By the same token, no extensive example is needed here--indeed Colgate does not yet have any specific component plans. But, as indicated by the preceding schedule, the comprehensive institutional plan has cascaded down through the various subsystems of the University with the request that they make their own detailed plans which are subsequently related to the broad outlines developed by the planning team.

22. REVIEW AND REVISION: As the final step in the planning process, there should be scheduled reviews and revisions of plans. In short, plans ought never to be rigid and inflexible. Ideally, they should be developed in some sort of a loose-leaf form and reviewed at least on an annual basis. These annual reviews and revisions should be related to the other normal procedures of the institution, such as annual reports, budget making, etc. And, in Colgate's case, the planning team is now thinking in terms of an intensive review and recast of long-range plans on a five-year cycle.

CONCLUSION: This process seemed to work quite well with the planning teams from Colgate University and Franklin and Marshall College. When applied in a setting such as the AFMR Manager Learning Center, where supplemental resources are available, it appears to have the special merit of compressing the amount of time required for comprehensive planning, and at the same time of putting all of the individual pieces of a total planning cycle into some meaningful relationship with each other. Once completed, a process such as this results in a loose-leaf planning document which can be widely circulated to all members of the college community. In Colgate's case, a rather extensive summary of the outcomes of the pilot planning process has been made available to trustees, alumni, faculty, students, and appropriate administrative offices. In each instance these groups are being asked to assist the planning team in its work by commenting on the document as well as setting up mechanisms for doing more detailed kinds of planning for the subsystems of the University. Although it is too early to tell how successful the sixteen-month cycle of planning activities at Colgate might be, there is every indication that this kind of a total procedure will produce very useful results.

Plans which do not start with this kind of a process-or something very similar--will probably never get implemented or will bring on the kinds of schizophrenia that will have a very serious effect on the vigor of the College and might result in the institution rejecting planning as a useful management tool. Planning that starts with this kind of process on the other hand, gives a comprehensive frame of reference which can serve both as a starting point and as a continuing guide for planning activities at all levels.

Finally, it should be noted that although the modalities of the process are no substitute for decision-making nor are they a substitute for the good judgment of the individuals comprising a planning team, the techniques applied at the AFMR Learning Center in these pilot processes do seem to accelerate the decision-making processes and tend to make them more accurate and coherent.

More important, perhaps, this kind of a process puts the burden for planning exactly where it belongs--on the shoulders of those who must take responsibility for the future of the institution. An examination of instances where planning has failed at other institutions leads to the rather clear conclusion that unless planning becomes a high priority concern of the top individuals in any institution that its chances for success are very limited.

Good planning, of course, is never finished and the process such as described above should be considered as no more than a starting point. But beginning with such a systematic process which has as its objective the development of a practical and feasible comprehensive institutional plan does have the potential of increasing the likelihood that the institution can get more of what it wants in the future through planning. This kind of a process develops a kind of cohesiveness amongst those participating and seems to sensitize them to the pressures of our society which demand that institutions do an ever better job of explicitly designing their future.

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